

IAP16 Rec'd PCT/PTO 20 SEP 2006

10/593697

Customer No. 22,852

Attorney Docket No. 05788.0409

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: **Silvia GHIDINI et al.**)
Application No.: ~~Not Yet Assigned~~ 10/593, 697)
Filed: **September 20, 2006**) Group Art Unit: ~~Not Yet Assigned~~ 2873
National Stage of International Application No.) Examiner: ~~Not Yet Assigned~~ PINKNEY
PCT/EP2004/003627 under 35 U.S.C. 371)
For: **OPTICAL MODULATOR**)

MAIL STOP PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)

Pursuant to 37 C.F.R. §§1.56 and 1.97(b), applicants bring to the Examiner's attention the documents listed on attached Form PTO/SB/08 and cited in the international search report. With the exception of the U.S. patents, a copy of each listed document is attached. Applicants respectfully request that the Examiner consider the documents listed on attached Form PTO/SB/08 and indicate that they were considered by making an appropriate notation on this form.

This Information Disclosure Statement is being filed with the above-referenced application.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /DP/

Receipt date: 09/20/2006

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Also enclosed is an English-language international search report from the European Patent Office in the PCT international application, from which this national phase U.S. application is derived.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

Dated: September 20, 2006

By:


Ernest F. Chapman
Reg. No. 25,961

Enclosures
EFC/FPD/blc

IDS Form PTO/SB/08: Substitute for form 1449A/PTO				Complete if Known 10/593697	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	Not Yet Available 10/593, 697
				Filing Date	September 20, 2006
				First Named Inventor	Silvia GHIDINI
				Art Unit	Not Yet Available 2873
				Examiner Name	Not Yet Available PINKNEY
Sheet	1	of	1	Attorney Docket Number	05788.0409

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS					
Examiner Initials	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Issue or Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/DP/		US-5,524,076	06-04-1996	Rolland et al.	
↓		US-5,778,113	07-07-1998	Yu	
		US-5,991,471	11-23-1999	Yu	

Note: Copies of the U.S. Patent Documents are not Required in IDS filed after October 21, 2004

FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/DP/		WO 03/036367	05-01-2003	Canon et al.	
/DP/		WO 2004/001857	12-31-2003	Wada et al.	

NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			Translation ⁶
/DP/		SOREF et al., "GUIDED-WAVE INTENSITY MODULATORS USING AMPLITUDE AND PHASE PERTURBATIONS", Journal of Lightwave Technology, Vol. 6, No. 3, pp. 437-444, (1988).			
↓		SOREF, "SILICON-BASED OPTOELECTRONICS", Proceedings of the IEEE, Vol. 81, No. 12, pp. 1687-1706, (1993).			
↓		HEISMANN et al., "LITHIUM NIOBATE INTEGRATED OPTICS: SELECTED CONTEMPORARY DEVICES AND SYSTEM APPLICATIONS", Editor KAMINOW et al., OPTICAL FIBER TELECOMMUNICATIONS IIIB, ed. Academic Press, San Diego, Chapter 9, pp. 377-404, (1997).			
		SOREF et al., "LARGE SINGLE-MODE RIB WAVEGUIDES IN GeSi-Si AND Si-on-SiO ₂ ", Journal of Quantum Electronics, Vol. 27, No. 8, pp. 1971-1974, (1991).			

Examiner Signature	/Dawayne Pinkney/	Date Considered	10/05/2010
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /DP/